

REQUEST FOR PROPOSALS (RFP) for
ARCHITECTURAL SERVICES- RFP #001-
15 FAÇADE IMPROVEMENT PROGRAM
BOROUGH OF KEANSBURG,
Monmouth County, New Jersey

The Borough of Keansburg is seeking sealed proposals from Architectural firms; hereafter called "Proposer(s)" to secure architectural design and construction administration services for the construction of a Façade Improvement Program to be located at various locations along Main Street, Carr Avenue, Church Street and Beachway Avenue.

Proposers shall provide Architectural services for pre-design, schematic design, design development, construction documentation and construction administration and inspections to complete façade improvements of approximately 30 locations throughout the Borough. The Borough will select the Proposer most qualified to perform the services described in the Request for Proposals, and which meets all relevant selection criteria.

A non-mandatory pre-proposal meeting will be held on Friday, October 16, 2015 at 10:00 a.m. in the Council Meeting Room, 29 Church St., Keansburg, NJ. This meeting is designed to provide Proposers with the opportunity to ask questions about the selection process and the program.

Questions regarding this Request for Proposals should be directed to the Keansburg Borough Engineer:

Francis W. Mullan, P.E.,
C.M.E Keansburg Borough
Engineer T&M Associates
11 Tindall Road
Middletown, NJ 07748-2792
(732) 671-6400
fmullan@tandmassociates.com

Proposers shall submit their sealed proposals no later than **Tuesday, November 3, 2015 @ 11:00 AM LOCAL TIME**, to the following physical location: Keansburg Borough Hall, 29 Church St, Keansburg, NJ. The sealed proposals shall be clearly labeled "**PROPOSAL FOR ARCHITECTURAL SERVICES – FAÇADE IMPROVEMENT PROGRAM**".

A. Project Background and Summary of Services:

The Borough of Keansburg is seeking Proposals from Architectural firms in order to provide design, public bidding, contract administration and other architectural services for the Façade Improvement Program consisting of the improvement of business facades and the replacement of deteriorated or poor quality exterior façade, including but not limited to doors, windows, sidings, awnings, and commercial signs. The program is managed through the efforts of the Borough of Keansburg, and funded by the New Jersey Economic Development Authority through the Stronger NJ Neighborhood and Community Revitalization Program - Streetscape Revitalization

Program. As a result of this solicitation, the Borough may request a combination of architectural services related to pre-construction, construction, and closeout phases of the project. Proposals provided in response to this request shall address the respondent's ability to provide the various services required for each project phase which would include, but not be limited to, the following:

1. Programing Phase

- a. Create a Program of project elements, potentially including:
- b. Exterior elements that improve the aesthetics of the building
- c. Exterior painting
- d. Removing inappropriate or incompatible exterior finishes and materials (false fronts, such as aluminum panels)
- e. Restoring exterior finishes and materials
- f. Installation of safety glass
- g. Recessing/reconfiguring of existing doors and entrances
- h. Repairing or replacing existing storefront window systems
- i. Signs attached to buildings (new, repair, replace and/or remove)
- j. Exterior building and sign lighting, exterior lighting fixture, display area lighting
- k. Awning; new, repairs or replacement of existing
- l. Facilitate meetings with Borough staff and business owners as needed to develop basic components of facade program, including standard building systems, equipment and materials and code compliance.
- m. Provide a schematic cost estimate and conceptual project schedule.
- n. Prepare and submit program plan for Borough review and approval.

2. Design Development Phase

- a. Work with the Borough on project elements design options and recommendations.
- b. Estimate construction costs.
- c. Facilitate meetings with Borough staff and business owners to review space square footage and space utilization needs to develop Preliminary Design Documents.
- d. Conduct Design-Development meetings with Borough staff and business owners and address points of clarification regarding the project.
- e. Prepare and submit Preliminary Project Design Documents, Preliminary Specifications, Preliminary Cost Estimate and Schedule to the Borough for review and approval.

3. Construction Document Phase

- a. Prepare complete Construction Documents and Specifications.
- b. Submit Construction Documents for review.
- c. Correct plans to reflect issues noted by review.

4. Bid Phase

- a. Assist with preparation of bid documents suitable for public bidding and conduct a pre-bid conference.
- b. Respond in writing to questions from bidders and prepare addenda as necessary.
- c. Distribute plans and bid documents to interested bidders and keep record of plan holder's list.
- d. Assist in evaluation of bids based upon bidders' qualifications, compliance with bid requirements and price.

5. Construction Administration Phase

- a. Conduct a Pre-Construction meeting and conduct regular construction progress meetings.
- b. Coordinate, review and process all Request for Change Proposals, Change Orders, etc. including maintaining a log of all such documents.
- c. Provide direction for questions and concerns from the contractor in resolution of problems.
- d. Monitor construction progress, cost, and general conformance with the contract documents throughout the construction process. Conduct Substantial Completion Inspection, coordinate and prepare punch list, substantiate that items noted are completed, and issue Substantial Completion Certificate.

B. Minimum Architectural Qualifications

The following is a list of qualifications that the architectural firm should possess at the minimum:

1. New Jersey registration and licensing in the appropriate and applicable disciplines.
2. Thorough knowledge of New Jersey Building Codes and all applicable State Statutes, building codes and regulations including, without limitation, the provisions of Local Public Contracts Law.
3. Current relevant working experience designing public facilities and/or similar projects.
4. Comprehensive working knowledge of commonly accepted public facility standards.
5. Strong interpersonal, communication, and presentation skills.
6. Upon award of the contract, ability to secure professional liability insurance for error and omissions as well as commercial general liability, automobile liability and workers' compensation insurance.

C. Statement of Qualifications

Proposals should include:

1. Briefly identify your firm, organizational structure and support resources available to complete the Summary of Services outlined above in this RFP.
2. List the qualifications of key personnel who would be assigned to this project

- including relative experience, degrees, certifications and professional affiliations.
3. Provide references including name and phone number for recently completed public facility projects.
 4. Briefly propose a general work plan to complete the architectural services for the Keansburg Borough Police Building construction relative to the scope of work as outlined in this RFP.

D. Basis of Award

The Borough will evaluate proposals submitted for Architectural Services on the basis of the most advantageous, price and other factors considered. The evaluation will consider:

1. Firm Qualifications to Perform Service
2. Experience and Reputation in the field
3. Knowledge of the Borough of Keansburg and understanding of the Scope of Work
4. Ability to perform all required work within the required schedule
5. Cost Competitiveness
6. Other factors if demonstrated to be in the best interest of the Borough of Keansburg

In order to be considered, Proposals must be received by the Borough Clerk, Mr. Thomas Cusick, by 11 a.m., Tuesday, November 3, 2015 at Keansburg Borough Hall, 29 Church St., Keansburg, New Jersey. Proposals will be publicly opened 11 a.m., November 3, 2015 and a tentative award date of November 12, 2015 at the Regular Scheduled Council Meeting at Keansburg Borough Hall, 29 Church Street Keansburg New Jersey 07734 7:00 p.m. As part of the review process, the Borough Manager may ask selected candidates to provide a formal presentation to the Manager and Council for consideration. Note that the Borough of Keansburg has the right to reject any and all proposals in part or in their entirety.

Proposal should be clearly labelled "Proposal for Architectural Services – Façade Improvement Program".

FORM OF PROPOSAL

REQUEST FOR PROPOSAL

BY

(Vendor Name)

(Address)

TO THE

BOROUGH OF KEANSBURG

(Owner's Name)

29 Church Street,
KEANSBURG, MONMOUTH COUNTY, NEW JERSEY
07734

(City, County & State)

FOR

The UNDERSIGNED, as bidder, declares that the only persons or parties interested in this proposal as principals are named herein; that this proposal is in all respects fair and without collusion or fraud; that no officer or employee of the Owner is directly or indirectly interested in this bid or the work of this contract or in any portions of the profits thereof; that he has carefully examined the annexed proposed Forms, Specifications, Technical Specifications, and Instructions to Vendors, and that he proposes and agrees that if this proposal is accepted, he will contract with the above-named Owner, in the form of contract hereto annexed, and to provide the necessary machinery, tools, apparatus, and other means of construction, and to furnish all the materials, equipment and labor specified in the contract in the manner and time therein specified, and according to the requirements of the Borough's Representative as therein specified, and according to the requirements of the Borough's Representative as therein set forth, and that he will take in full payment therefore the following prices to wit:

NOTE: Complete and submit the loose, unbound copy of this Proposal Form only.

FORMS AND CHECKLIST

The following checklist **must be completed and submitted** with the bid as required by P.L. 1999, Chapter 39. The vendor shall initial each item indicating that it has been included with the packet.

Failure to submit Items 1 through 7 shall be deemed a fatal defect that shall render the bid proposal unresponsive.

Items To Be Submitted	Initial
Proposal with Addenda	_____
Consent of Surety	_____
Non-Collusion Affidavit	_____
Corporate Disclosure of Ownership Statement	_____
Proposed Subcontractors	_____
Experience Statement	_____
Acknowledgement of Receipt of Changes to Contract Documents	_____

Failure to submit these items shall be deemed a non-fatal defect that shall not render the proposal unresponsive but must be received before the award of bid.

NJ Business Registration Certificate issued by NJ Dept. of Treasury/Div. of Treasury	_____
Certified Financial Statement and Annual Report	_____
Notice of Anti-Drug/Alcohol Plan	_____
Certification by Bidder Regarding Equal Employment Opportunity	_____
U.S.E.P.A. Certification of Non-Segregated Facilities	_____
Affirmative Action Affidavit	_____
Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion	_____
Disclosure of investment activities in Iran	_____
New Jersey Financing & Lobbying Disclosure (Pay-to-Play)	_____
Certificate of Liability Insurance	_____
Certificate of Authority Evidencing Authorization to Conduct Business in NJ	_____

Vendor _____

Signature of Duly Authorized Person _____

Print or Type Name & Title _____

Company Name _____

Address _____

Telephone Number _____

CORPORATE SEAL

NON-COLLUSION AFFIDAVIT

STATE OF NEW JERSEY:

SS.

COUNTY OF :

I, _____, of _____ in the County of _____ and State of New Jersey, of full age, being duly sworn according to law on my oath depose and say that:

I am _____ of the firm of _____, the bidder making the Proposal for the above named project, and that I executed the said Proposal with full authority so to do; that said bidder has not, directly or indirectly, entered into an agreement, participated in any collusion, or otherwise taken any action in restraint of free, competitive bidding in connection with the above named project; and that all statements contained in said Proposal and in this affidavit are true and correct, and made with full knowledge that the Owner relies upon the truth of the statements contained in said Proposal and in the statements contained in this affidavit in awarding the contract for the said project.

Subscribed and sworn to me this _____ day

Of _____, 20__.

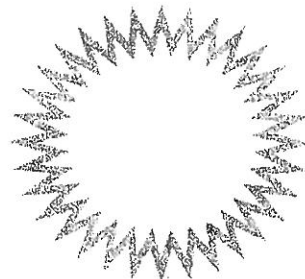
By _____

(Seal)

Notary Public of New Jersey

My Commission Expires

_____, 20__.



DISCLOSURE OF OWNERSHIP

In accordance with the P.L. 1977, Chapter 33, effective March 8, 1977, all bidders shall submit with their bid, a statement setting forth the names and addresses of all stockholders in the corporation (or partnership) who own ten percent (10%) or more of its stock, of any class (or of any individual partners in the partnership who own a 10% or greater interest therein, as the case may be). If one or more such stockholder (or partner) is itself a corporation (or partnership), the stockholders holding 10% or more of that corporation's stock (or the individual partners owning 10% or greater interest in that partnership, as the case may be), shall also be listed. The disclosure shall be continued until names and addresses of every non-corporate stockholder, and individual partner, exceeding the 10% ownership criteria has been listed.

Bidders may utilize the forms provided with the proposal for this purpose or may submit their own statement forms provided the necessary information is disclosed. If the bidder's own forms are used, they shall be executed and attested in the same form as the Proposal.

	Full Name of Individual	Stockholder or Partner	Address of Individual	Share (%) Owned
1				
2				
3				
4				
5				
6				
7				
8				

Number of minority (less than 10%) owners not listed _____

Total

100%

¹ Attach additional sheets in this format if necessary.

² If a corporation or partnership is shown as a greater than 10% owner, attach similar breakdown of (their) (its) individual owners.

List of Subcontractors

Required by The Local Public Contract Law N.J.S.A. 40A:11-16 And P.L. 1997, Chapter 408

Borough of Keansburg

Bid Opening Date: _____

Work Title: _____

Job No.: _____

Contractor : _____

NAME UNDER WHICH SUBCONTRACTOR LICENSED	LICENSE NO.	N.J. DEPT. OF LABOR CERTIFICATE NO.	ADDRESS OF OFFICE MILL OR SHOP	SPECIFIC DESCRIPTION OF SUBCONTRACT	PERCENT OF CONTRACT	PRICE QUOTE TO BE AWARDED TO SUBCONTRACTOR

I, _____, certify that the price quotes submitted above will be awarded to each Subcontractor should I be awarded the Contract.

Name: _____

Address: _____

Signed by: _____

EXPERIENCE STATEMENT

The Bidder shall furnish with the proposal a recent listing of similar type projects on which he has performed work. (4 minimum)

		Approximate Value
1	Project Name/Owner: _____	\$ _____
	Address: _____	
	Contact Person: _____	
	Phone Number: _____	
	Scope: _____	
2	Project Name/Owner: _____	\$ _____
	Address: _____	
	Contact Person: _____	
	Phone Number: _____	
	Scope: _____	
3	Project Name/Owner: _____	\$ _____
	Address: _____	
	Contact Person: _____	
	Phone Number: _____	
	Scope: _____	
	Project Name/Owner: _____	\$ _____
4	Address: _____	
	Contact Person: _____	
	Phone Number: _____	
	Scope: _____	

ACKNOWLEDGEMENT OF RECEIPT OF CHANGES TO CONTRACT DOCUMENTS

Borough of Keansburg

Work _____

Title: Job No: _____

Pursuant to N.J.S.A. 40A:11-23.1a, the undersigned bidder hereby acknowledges receipt of the following notices, revisions or addenda to the bid advertisement, specifications or bid documents. By indicating date of receipt, bidder acknowledges the submitted bid takes into account the provisions of the notice, revision or addendum. Note that the local unit's record of notice to bidder shall take precedence and that failure to include provisions of changes in a bid proposal may be subject for rejection of the bid.

Local Unit Reference Number or Title of Addendum/Revision	How Received (mail, fax, pick-up, etc.)	Date Received

Acknowledgement by Bidder: _____

Name of Bidder: _____

By Authorized Representative: _____

Signature: _____

Printed Name and Title: _____

Date: _____

New Jersey Business Registration Certificate

PLEASE PUT A COPY OF YOUR NEW JERSEY BUSINESS REGISTRATION CERTIFICATE
HERE:

Certified Financial Statement and Annual Report

PLEASE PUT A COPY OF YOUR CERTIFIED FINANCIAL STATEMENT AND ANNUAL REPORT
HERE:

NOTICE OF FEDERALLY MANDATED ANTI-DRUG/ALCOHOL PLAN

The Contractor is advised that a Federal Mandate, effective January 1, 1996, requires all businesses having employees with a commercial driver's license have a program of random drug and alcohol testing in accordance with 49 CFR Parts 40, 199 and 391.

IB 33 requires the successful bidder to submit evidence that it is participating in random drug and alcohol testing program. Failure to show evidence of meeting these requirements shall be grounds to render said bid as informal and cause its rejection.

Bidder's Name:

Bidder's Signature:

Date:

MANDATORY EQUAL EMPLOYMENT OPPORTUNITY LANGUAGE

N.J.S.A. 10:5-31 et seq. (P.L. 1975, C. 127)

N.J.A.C. 17:27

GOODS, PROFESSIONAL SERVICE AND GENERAL SERVICE CONTRACTS

During the performance of this contract, the contractor agrees as follows:

The contractor or subcontractor, where applicable, will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex. Except with respect to affectional or sexual orientation and gender identity or expression, the contractor will ensure that equal employment opportunity is afforded to such applicants in recruitment and employment, and that employees are treated during employment, without regard to their age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex. Such equal employment opportunity shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Public Agency Compliance Officer setting forth provisions of this nondiscrimination clause.

The contractor or subcontractor, where applicable will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex.

The contractor or subcontractor will send to each labor union, with which it has a collective bargaining agreement, a notice, to be provided by the agency contracting officer, advising the labor union of the contractor's commitments under this chapter and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

The contractor or subcontractor, where applicable, agrees to comply with any regulations promulgated by the Treasurer pursuant to N.J.S.A. 10:5-31 et seq., as amended and supplemented from time to time and the Americans with Disabilities Act.

The contractor or subcontractor agrees to make good faith efforts to meet targeted county employment goals established in accordance with N.J.A.C. 17:27-5.2.

The contractor or subcontractor agrees to inform in writing its appropriate recruitment agencies including, but not limited to, employment agencies, placement bureaus, colleges, universities, and labor unions, that it does not discriminate on the basis of age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex, and that it will discontinue the use of any recruitment agency which engages in direct or indirect discriminatory practices.

The contractor or subcontractor agrees to revise any of its testing procedures, if necessary, to assure that all personnel testing conforms with the principles of job-related testing, as established by the statutes and court decisions of the State of New Jersey and as established by applicable Federal law and applicable Federal court decisions.

In conforming with the targeted employment goals, the contractor or subcontractor agrees to review all procedures relating to transfer, upgrading, downgrading and layoff to ensure that all such actions are taken without regard to age, race, creed, color, national origin, ancestry, marital status, affectional or sexual orientation, gender identity or expression, disability, nationality or sex, consistent with the statutes and court decisions of the State of New Jersey, and applicable Federal law and applicable Federal court decisions.

The contractor shall submit to the public agency, after notification of award but prior to execution of a goods and services contract, one of the following three documents:

Letter of Federal Affirmative Action Plan Approval

Certificate of Employee Information Report

Employee Information Report Form AA302 (electronically provided by the Division and distributed to the public agency through the Division's website at www.state.nj.us/treasury/contract_compliance)

The contractor and its subcontractors shall furnish such reports or other documents to the Division of Public Contracts Equal Employment Opportunity Compliance as may be requested by the office from time to time in order to carry out the purposes of these regulations, and public agencies shall furnish such information as may be requested by the Division of Public Contracts Equal Employment Opportunity Compliance for conducting a compliance investigation pursuant to Subchapter 10 of the Administrative Code at N.J.A.C. 17:27.

CERTIFICATION BY BIDDER REGARDING EQUAL EMPLOYMENT OPPORTUNITY

Name of Prime Contractor/Bidder _____

Project No. _____

INSTRUCTIONS

This certification is required pursuant to Executive Order 11246, Part II, Section 203(b), (30 F.R.12319-25). Any bidder or prospective contractor, or any of their proposed subcontractors, shall state as an initial part of the bid or negotiations of the contract whether it has participated in any previous contract or subcontract subject to the equal opportunity clause; and, if so, whether it has filled all compliance reports due under applicable instructions.

Where the certification indicated that the prime or subcontractor has not filed a compliance report due under applicable instructions, such contractor shall be required to submit a compliance report.

CONTRACTOR'S CERTIFICATION

Contractor's Name: _____

Address: _____

		YES	NO
1	Bidder has participated in a previous contract or subcontract subject to the Equal Opportunity Clause.	_____	_____
2	Compliance reports were required to be filed in connection with such contract or subcontract	_____	_____
	If YES, state what reports were filed and with what agency:		
3	Bidder has filed all compliance reports due under applicable instructions, including EEO-1.	_____	_____
	If NO, please explain in detail on reverse side of this certification.		

CERTIFICATION: *The information above is true and complete to the best of my knowledge and belief. A willfully false statement is punishable by law. (U.S. Code, Title 18, Section 1001)*

NAME AND TITLE OF SIGNER (Please Type) _____

SIGNATURE _____

DATE _____

U.S. ENVIRONMENTAL PROTECTION AGENCY

CERTIFICATION OF NON-SEGREGATED FACILITIES

(Applicable to federally assisted construction contracts and related subcontracts exceeding \$10,000 which are not exempt from the Equal Opportunity clause.)

The federally assisted construction contractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally assisted construction contractor certifies further that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The federally assisted construction contractor agrees that a breach of this certification is a violation of the Equal Opportunity clause in this contract. As used in this certification, the term "**segregated facilities**" means **any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the bases of race, creed, color, or national origin, because of habit, local custom, or otherwise.** The federally assisted construction contractor agrees that (except where he has obtained identical certifications from proposed subcontractors for specific time periods) he will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause, and that he will retain such certifications in his files.

Signature

Date

Name and Title of Signer (Please Type)

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

N.J.S.A. 10:5-31 et seq.
AFFIRMATIVE ACTION AFFIDAVIT

(TO BE COMPLETED BY FIRMS WITH LESS THAN 50 EMPLOYEES)

STATE OF NEW JERSEY

COUNTY OF _____

I, _____, of the (City, Town, Borough) of _____ in the County of _____, State of _____, of full age, being duly sworn according to law on my oath depose and say that:

1. I am (President, partner, owner) of the firm of _____, a bidder making a proposal upon the above named project.
2. The firm of _____ does not have 50 employees or more, inclusive of all officers and employees of every type.
3. I am familiar with the affirmative action requirements of P.L. 1975 c.127, its rules and regulations issued by the Treasurer, State of New Jersey, pursuant thereto.
4. The firm of _____ has compiled with all the affirmative action requirements of the State of New Jersey, including those required by P.L. 1975 c.127 and the rules and regulations issued by the Treasurer, State of New Jersey, pursuant thereto.
5. I am aware that if the firm of _____ does not comply with P.L. 1975 c.127 and rules and regulations issued pursuant thereto, that no monies will be paid by the State of New Jersey, County of _____, (City, Town, Borough) of _____, until an affirmative action plan is approved. I am also aware that the contract may be terminated and the firm of _____ may be debarred from all public contracts, for a period of up to five (5) years.
6. In the event my workforce increases to 50 employees, I must contact the State Affirmative Action Office and complete an Employee Information Report (AA-302).

Signature of Authorized Representative

Name and Title

SUBSCRIBED AND SWORN TO
BEFORE ME THIS _____ DAY
OF _____, 20____.

Certificate of Liability Insurance

PLEASE PUT A COPY OF Certificate of Liability Insurance here:

DISCLOSURE OF INVESTMENT ACTIVITIES IN IRAN

OPS NUMBER: _____ PROPOSER: _____

Pursuant to Public Law 2012, c. 25, any person or entity that submits a bid or proposal or otherwise proposes to enter into or renew a contract must complete the certification below to attest, under penalty of perjury, that the person or entity, or one of the person or entity's parents, subsidiaries, or affiliates, is not identified on a list created and maintained by the New Jersey Department of the Treasury as a person or entity engaging in investment activities in Iran. If the Director finds a person or entity to be in violation of the principles which are the subject of this law, s/he shall take action as may be appropriate and provided by law, rule or contract, including but not limited to, imposing sanctions, seeking compliance, recovering damages, declaring the party in default and seeking debarment or suspension of the person or entity.

I certify, pursuant to Public Law 2012, c. 25, that the person or entity listed above for which I am authorized to submit a proposal:

☐ is not providing goods or services of \$20,000,000 or more in the energy sector of Iran, including a person or entity that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran,

AND

☐ is not a financial institution that extends \$20,000,000 or more in credit to another person or entity, for 45 days or more, if that person or entity will use the credit to provide goods or services in the energy sector in Iran.

In the event that a person or entity is unable to make the above certification because it or one of its parents, subsidiaries, or affiliates has engaged in the above-referenced activities, a detailed, accurate and precise description of the activities must be provided in part 2 below to the New Jersey Turnpike Authority under penalty of perjury. Failure to provide such will result in the proposal being rendered as non-responsive and appropriate penalties, fines and/or sanctions will be assessed as provided by law.

PART 2: PLEASE PROVIDE FURTHER INFORMATION RELATED TO INVESTMENT ACTIVITIES IN IRAN

You must provide a detailed, accurate and precise description of the activities of the proposer, or one of its parents, subsidiaries or affiliates, engaging in the investment activities in Iran outlined above by completing the boxes below.

Name: _____ Relationship to Proposer: _____

Description of Activities: _____

Duration of Engagement: _____ Anticipated Cessation Date: _____

Proposer Contact Name: _____ Contact Phone Number: _____

Certification: I, being duly sworn upon my oath, hereby represent and state that the foregoing information and any attachments thereto to the best of my knowledge are true and complete. I attest that I am authorized to execute this certification on behalf of the above-referenced person or entity. I acknowledge that the State of New Jersey is relying on the information contained herein and thereby acknowledge that I am under a continuing obligation from the date of this certification through the completion of any contracts with the State to notify the State in writing of any changes to the answers of information contained herein. I acknowledge that I am aware that it is a criminal offense to make a false statement or misrepresentation in this certification, and if I do so, I recognize that I am subject to criminal prosecution under the law and that it will also constitute a material breach of my agreement(s) with the State of New Jersey and that the State at its option may declare any contract(s) resulting from this certification void and unenforceable.

Full Name (Print): _____ Signature: _____

Title: _____ Date: _____

Certificate of Authority Evidencing Authorization to Conduct Business in NJ

PLEASE PUT A COPY OF Certificate of Authority Evidencing Authorization to Conduct Business in NJ here:

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722 - 4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number of
Project Name

Name and Title of Authorized Representative

Signature

Date

(SBE/WBE/MBE/VBO)

Procedures for Implementation of 40 CFR Part 31.136(e) and 15 U.S.C. 632 (Federal)
Procedures for Implementation of N.J.A.C. 17:13 and 17:14 (SWVMB's) and P.L. 2011 ch. 147 VBOs

The General Contractor must fully comply with the requirements, terms, and conditions of the Federal and State policy to encourage contracting with business enterprises whose ownership is qualified or certified as one of the following or any combination thereof:

1. Small business enterprises (SBE's)
2. Minority business enterprises (MBE's)
3. Women business enterprises (WBE's)
4. Veteran owned business enterprises (VBO's)

These requirements extend to the New Jersey Department of Community Affairs – "NJDCA" – (as the primary recipient of CDBG/DR federal funds) and flow down to the New Jersey Economic Development Authority "NJEDA" (as sub-recipient of CDBG/CR federal funds) for various economic revitalization programs.

The NJEDA and all other participating parties (including contractors and subcontractors) will take all necessary affirmative steps and best efforts to afford small, women, minority and veteran owned business enterprises, and labor surplus firms the maximum practicable opportunity to participate in federally-assisted contracts.

The guidelines below are to ensure that procedures are in place to ensure that good faith efforts will be undertaken to ensure that small and disadvantaged businesses, minority firms, and women-owned and veteran-owned businesses can compete for and win a fair share of the contracts that are awarded by the Department of Community Affairs, its sub recipients and contractors receiving funding under that CDBG/DR program.

General Contractor's Responsibilities

The General Contractor must fully comply with the requirements, terms and conditions of the Federal and State policy to award a fair share of sub agreements to small, women's, minority and veteran owned business enterprises.

The General Contractor commits itself to take affirmative action contained herein prior to contract execution.

Affirmative Actions required by General Contractors - SBE/WBE/MBE/VBO UTILIZATION

1. When feasible, segmented total work required to permit maximum SBE/WBE/MBE/VBO participation.
2. Assuring that SBE/WBE/MBE/VBO business enterprises are solicited whenever they are potential sources of goods or services. This activity may include:
 - a. Sending letters or making other personal contacts with SBE/WBE/MBE/VBO firms. (Use the State of New Jersey website found at: https://www20.state.nj.us/TYTR_SAVI/vendorSearch.jsp or other SBE/WBE/MBE/VBOs known to General Contractor. SBE/WBE/MBE/VBOs should be contacted when other potential subcontractors are contacted, within reasonable time (fifteen days) prior to bid submission or closing date for receipt of initial offers. Such letters or other contacts should communicate the following:

- i. Specific descriptions of the work to be contracted;
 - ii. How and where to obtain a copy of plans and specifications or other detailed information needed to prepare a detailed price quotation;
 - iii. Date quotation is due to General Contractor;
 - iv. Name, address, phone number of the person in the General Contractor's firm whom the prospective SBE/WBE/MBE/VBO subcontractor should contact for additional information.
- b. Sending letters or making other personal contacts with local, state, Federal, and private agencies and SBE/WBE/MBE/VBO associations relevant to the project. Such contacts should provide the same information provided in the direct contacts to SBE/WBE/MBE/VBOs.
- 3. Establishing delivery schedules, if feasible, which will encourage participation by SBE/WBE/MBE/VBOs.

Determination of General Contractor's Compliance

It is to be noted that the General Contractors must demonstrate compliance with SBE/WBE/MBE/VBO requirements to be deemed responsible.

To demonstrate compliance, the General Contractors must complete the "General Contractor's Schedule of Small, Women's, Minority and Veteran Owned Business Enterprise Utilization Worksheet – Sandy CDBG-DR Economic Revitalization" form (NJEDA SWMVBE General Contractors Form 1) and submit to the NJEDA.

The following information must be completed in the form:

- 1. Name of the SBE/WBE/MBE/VBO firm(s), their address and contact persons
- 2. Description of work to be performed by the SWMVBE firm;
- 3. Aggregate dollar amount of work to be performed by the SWMVBE firms.

Good faith efforts including documentation of contracts made with SBE/WBE/MBE/VBO firms, including but not limited to:

- 1. Description or contacts to SBE/WBE/MBE/VBO organizations, agencies and associations which serve SBE/WBE/MBE/VBOs, including names of organizations, agencies, associations and date(s) of contact;
- 2. Description of contracts to SBE/WBE/MBE/VBO firms, including number of contacts, fields or trades (e.g. equipment or material supplier, excavators, transport services, electrical subcontractors, plumbers, etc.) and the date of contacts.

The General Contractor should use the New Jersey Department of Treasury, Division of revenue – Small Business Registration and SBE/WBE/MBE/VBO Certification Unit NJ Selective Assistance Vendor Information (NJ SAVI) database at:

https://www20.state.nj.us/TYTR_SAVI/vendorSearch.jsp

Additional Affirmative steps shall include:

Mandatory Construction Contract Language and Specifications:

- 1. Inclusion of the following mandatory contract language goods and services, construction and professional services contract:
 "Sub recipient and/or borrower agrees to use its best efforts to afford small business, women's business, minority business and veteran owned business enterprises and Section 3 businesses,

the maximum practicable opportunity to participate in the performance of this contract. As used in this contract, the terms "small business" means a business that meets the criteria set forth in section 3(a) of the Small Business Act, as amended (15 U.S.C. 632) and N.J.A.C. 17:13 and N.J.A.C. 17:14; and "minority and women's business enterprise" means a business at least fifty-one (15%) percent owned and controlled by minority group members or women; or businesses certified or registered, including self-certification pursuant to N.J.A.C. 17:45 et al.

For the purpose of this definition, "minority group members" are Afro-Americans, Spanish-speaking, Spanish surnamed or Spanish-heritage Americans, Asian-Americans and American Indians. The sub recipient and/or borrower may rely on written representations by businesses regarding their status as minority and female business enterprises in lieu of an independent investigation."

2. Placing qualified small, minority, veterans and women owned business enterprises on solicitation lists;
3. Assuring that small and minority businesses and women's and veteran's business enterprises are solicited whenever they are potential sources;
4. Dividing total requirements, when economically feasible, into small tasks or quantities to permit maximum participation by small and minority businesses, and women's and veterans business enterprises;
5. Establishing delivery schedules, where the requirement permits, which encourages participation by small and minority business and women's and veteran's business enterprises;
6. Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and
7. Requiring the prime contractor, if sub-contracts are to be let, to the affirmative steps listed above.
8. Directing bidding firms to use the New Jersey Department of Treasury, Division of Revenue – Small Business Registration and SWMVBCE Certification Unit "NJ Selective Assistance Vendor Information (NJ SAVI) database at https://www20.state.nj.us/TYTR_SAVI/vendorSearch.jsp.
9. All General Contractors will be required to complete and submit the NJEDA Office of Recovery/Sandy "General Contractor's Schedule of Small, Minority, Women's and Veteran Owned Business Enterprise Utilization Worksheet" (NJEDA SWMVBCE General Contractor's Form #A1) as part of their bid submission to NJEDA.

Post Closing Compliance Monitoring

After construction contracts have been awarded and once any construction activity is commenced, the project's General Contractor or construction manager will be required to complete and submit to the NJEDA Office of Recovery Sandy "SWMVBCE Monthly Contract and Subcontract Activity Report" (NJEDA SWMVBCE Compliance Report Form #2) as an attachment to each invoice submitted to NJEDA requesting disbursement of CDBG/CR funds. (See attached form).

For the purposes of these guidelines, "contracting agency" means the State or any board, commission, committee, authority or agency of State (N.J.S.A. 53:32-17 et seq.)

The Office of Small Business Assistance within the New Jersey Department of Treasury has specific oversight of the small business set-aside programs. The Office of Minority Business Enterprises with the New Jersey Department of Treasury has specific oversight of the small, women, minority and veteran owned business programs.

EXHIBIT 2-1

VERIFICATION OF PROFESSIONAL SERVICES ELIGIBILITY

**Please attach a copy of firm's Business Registration Certificate (BRC) to this form.*

1. Request for Clearance of Professional Services is hereby made by: _____

Name of Subrecipient _____

CDBG-DR Number _____

2. Identification of the professional firm for which clearance is requested: _____

Legal Business Name _____

DUNS number _____

Street Address, City, _____

State, and Zip Code _____

Phone Number(s) _____

3. Name of the principles of the firm and their title/position are as follows.

(Complete names preferred: Example—John Buford Brown is preferable to John Brown)

Name of Principals	Title(s)
_____	_____
_____	_____

4. Description of professional services? _____

5. Signed: _____ Date _____
City/Municipality CEO or Representative

6. (To be completed by the NJEDA)

Professional firm cleared: Yes ☐ No ☐ Date: _____

Signature, NJEDA's staff _____

Faxed or Mailed To _____

Comments: _____

EXHIBIT 2-1

VERIFICATION OF PROFESSIONAL SERVICES ELIGIBILITY

**Please attach a copy of firm's Business Registration Certificate (BRC) to this form.*

1. Request for Clearance of Professional Services is hereby made by:

Name of Subrecipient **BOROUGH OF KEANSBURG**

CDBG-DR Number **38959**

2. Identification of the professional firm for which clearance is requested:

Legal Business Name _____

DUNS number _____

Street Address, City, _____

State, and Zip Code _____

Phone Number(s) _____

3. Name of the principles of the firm and their title/position are as follows.

(Complete names preferred: Example—John Buford Brown is preferable to John Brown)

Name of Principals

Title(s)

4. Description of professional services? **ARCHITECTURAL SERVICES FOR FACADE PROGRAM**

5. Signed: _____ Date _____

City/Municipality CEO or Representative

6. (To be completed by the NJEDA)

Professional firm cleared: Yes ☐ No ☐

Date: _____

Signature, NJEDA's staff

Faxed or Mailed To

Comments:
